

MONTH END ACTIVITY REPORT
Bureau of Securities
May 2013

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional			0
Oversales			0
Renewal Filings			0
New Notice Filings			0
Common Stock			0
Limited Partnerships			0
Preferred Stock			0
REIT			0
Debt			0
Qualification			0
Other			0
Denials			0
Sales of Unregistered Securities			0
Withdrawals			0

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	6	0	6
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	5	1	6
Gain/Loss Broker-Dealers	1	-1	0
Total Broker-Dealers Registered as of May 31, 2012	1260	29	1289
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	1509	0	1509
Denied	0	0	0
Terminations	1276	0	1276
Gain/Loss Agents	233	0	233
Total BD Agents Registered as of May 31, 2012	87138	27	87165

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	0	4	4
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	2	2
Denied	0	0	0
Gain/Loss effective registrations	0	2	2
Total IA's Registered as of May 31, 2012	97	1133	1230
Investment Adviser Representatives			
Activity	State	Federal	Total
New	0	39	39
Denied	0	0	0
Terminated	2	27	29
Gain/Loss effective registrations	-2	12	10
Total IAR's Registered as of May 31, 2012	173	3311	3484

Exemptions			
Exemption Type	Number		
8-1108.02(2)	74		
8-1108.02(3)			
8-1111(16)			
8-1110(5)(b)			
8-1111(20)			
8-1110(8)			
8-1111(9)	9		
8-1111(11)(a)			
8-1111(11)(b)			
8-1111(14)			
8-1111(15)			
8-1111(17)	2		
Total Exemptions as of May 31, 2012	85		